

Appendix

104(g)(1) Operator Outreach Program Evaluation Survey

State _____
 EPA Region _____
 Organization _____
 Contact name _____
 Phone number _____
 Fax _____
 E-mail _____

- Please identify whether you are a
 _____ 109(b) environmental training center
 _____ State regulatory agency
 _____ Other _____
- What was the first year in which you received 104(g) funding? _____
 Please provide information about all of your recent funding for wastewater treatment plant outreach. We are looking for a complete financing profile of your program.

<i>Fiscal Year</i>	<i>104(g) Funding Amount</i>	<i>Federal Expenditures</i>	<i>State Match</i>	<i>Other Funding (in-kind, etc.)</i>
1998				
1997				
1996				
1995				

If funds other than 104(g) are received, please indicate the source(s) and amounts (attach additional pages if needed).

Source (Federal, State, local, or other) _____

Agency or Organization _____

Amount \$ _____

Brief Project Description

- Please provide as much information as possible about the total numbers of wastewater treatment facilities assisted and the person days provided. Include all on-site operator and manager training, as well as technical assistance in O&M, financing, and capital improvement planning. These numbers will be used to derive typical service levels (number of person days divided by number of projects = average length of project) and average cost per project. These responses will not be used to compare one training center to another.

<i>Fiscal Year</i>	<i>Goal (as specified to EPA)</i>	<i>Actual # of Facilities Assisted</i>	<i>Total # of Person Days Provided</i>	<i># of Carry-Over Visits (one year to the next)</i>	<i># of Follow-Up Visits</i>
1998					
1997					
1996					
1995					

4. Please provide information about the 104(g) assistance providers and identify support personnel for your program. Indicate numbers and "FT" for full time and "PT" for part time. In the comments section, please also note their years of experience and the source of their funding (F-federal, S-state, O-other).

<i>Fiscal Year</i>	<i>Number of Technical Staff (employees)</i>	<i>Number of Contractors/ Consultants Providing Technical Assistance</i>	<i>Number of Support Staff (administrative assts, secretaries, budget specialists, grant managers, etc.)</i>	<i>Comments</i>
Example	1 FT	2 PT	1 FT secretary (funded 50% by 104) 1 PT budget analyst 1 PT grants specialist	Technical personnel have more than 15 yrs exp. each, funded 75% federal and 25% state. Admin support, grant mgmt provided by college.
1998				
1997				
1996				
1995				

5. If you lost your 104(g) funding, what would happen to your program?
- _____ Elimination of technical assistance for WWTPs
- _____ Continued program, but with reduction in staff, reduction in services offered, reduction in number of systems assisted, or reduction in length of time invested at systems (please underline all that apply)
- _____ Other (please describe)
6. If your 104(g) funding were increased, what would be the effect on your program? (check all that apply)
- _____ Increase in staff
- _____ Expansion of services offered
- _____ Increase in number of systems assisted
- _____ Increase in length of time invested at systems
- _____ Other (please describe)
7. Where do your requests for technical assistance originate? (please indicate approximate percentage of frequency; e.g., 35% operators, 40% regulatory agency referral, 25% classroom training)
- _____ Operators
- _____ Utility or WWTP managers
- _____ Local officials
- _____ Referral by State regulatory or other agency
- _____ Technical assistance as part of enforcement action
- _____ Contacts during classroom training
- _____ Other (please describe)
8. Please rank the circumstances for delivery of 104(g) assistance. (F "frequently"; S "sometimes"; N "never")
- _____ System is not complying with NPDES permit
- _____ System is in compliance with NPDES permit, but at high risk of non-compliance
- _____ System is in compliance with NPDES permit, but has a new operator on staff
- _____ System not required to have NPDES permit, no discharge to receiving waters
- _____ System should have a permit, but it has not been issued
- _____ System has other permit violations; i.e., 503b, UIC, state inspection reports, other state permits, tribal permits
- _____ System is in start-up status
- _____ System received 104(g) assistance, project was closed, but system needs help again ("repeat work")
- _____ Other (please describe)
9. Please estimate the percentage of total facilities you have served by:
- _____ Assisting out-of-compliance plants to helping maintain compliance
- _____ Optimizing operations
- _____ Helping plants in danger of non-compliance

10. Please list the top 10 performance limiting factors, in order from most to least important, that you see in the field (use EPA PLF codes attached, but add descriptions if necessary for clarity).
11. If you believe that your program's outreach is limited, please describe what you believe are *your program's* "performance limiting factors." Please rank each factor on a scale of 1 to 5, with 1 being the most significant. Please include comments, if appropriate.
- _____ Insufficient operating budget
 - _____ Poor public awareness and understanding of the program
 - _____ Inadequate marketing of the program
 - _____ Lack of administrative support and communication between EPA and grantees
 - _____ Inadequate staffing
 - _____ Lack of support for program at the local level
 - _____ Insufficient support for operators by local officials and managers
 - _____ Insufficient funds for equipment replacement and repair
 - _____ Interference or lack of support from other agencies
 - _____ Response time problems
 - _____ Travel considerations (time, funding)
 - _____ Other (please describe) _____
12. What do you see as the key successes of the 104(g) program? Please rank each factor on a scale of 1 to 5, with 1 being the most significant. Please include comments, if appropriate.
- _____ Improved system compliance
 - _____ Enhanced community and public education about wastewater treatment
 - _____ Financial savings or other direct economic benefits for communities
 - _____ Increased managerial and capital improvement planning skills at the local level
 - _____ Enhanced operator professionalism (certification, involvement in professional associations, participation in training)
 - _____ Development of a skilled technical assistance workforce, with special understanding of small communities' financial and political constraints
 - _____ Other, please specify _____
13. What do you see as the main reason(s) for the 104(g) program's success? Please rank from in order of priority, with 1 being the most important.
- _____ Commitment to long-term and comprehensive on-site assistance
 - _____ Assignment of technical assistance providers with special expertise in working with small communities
 - _____ Technical assistance by professionals with plant operating experience (peer-group assistance or mentoring approach)
 - _____ Partnerships with State agencies (non-monetary support such as referrals)
 - _____ Other, please specify _____
14. It is commonly believed that the 104 program has launched other, complementary programs. What other services do you offer which have been developed in response to needs identified through 104(g) funded work? Please check all that apply.
- _____ Energy audits
 - _____ Pollution prevention audits
 - _____ Train-the-trainer
 - _____ Local official training
 - _____ Management training
 - _____ Preparation of requests for proposals
 - _____ Development of standards for community review of engineering proposals
 - _____ Advanced operations training
 - _____ Classroom training (in general)
 - _____ Drinking water (or other media) technical assistance and training

Case Studies

Please describe three to five of your State's most successful, innovative, or impressive assistance projects. Try to pick examples that are recent and that represent the key themes outlined in the cover letter. If possible, please provide *photographs, charts, and other visual aids* to present key information. Also send *quotations* from those who received assistance, including their name, title, and facility/community. *We will use these in the report to support case study presentations and other findings.* Please complete the following for each case study provided:

1. Name of Facility
2. Design Capacity, MGD
3. Size of Population Served
4. Type of Treatment
5. Contact Person/104 Technical Assistance Provider(s)
6. Brief Description of the Trainer's Assessment of the Problem (can use PLFs)
7. Description of Assistance Provided
8. Date of Project Start-Up and Length of Time That Project Was Open
9. Compliance Status at Beginning of Project and at End of Project
10. Approximate Amount of 104(g) Money Spent
11. Approximate Amount(s) and Source(s) of Supplemental Funding

For each case study, if possible, please provide the following information to help evaluate quantify benefits:

- Estimate the cost of equivalent advice and training from private engineering consultants (base figures on \$15,000 per 40 hour week of OME analysis, including travel and overhead)
- Estimate the probable cost to the state agency of added inspections, consent orders or other enforcement activities that would have been necessary had the 104(g) program not provided assistance
- Estimate fines and other penalties that the system would have borne
- Estimate reduced operating expenses, including energy efficiency improvements, as a direct result of the 104(g) assistance (base figures on actual savings in operating expenses; provide separate estimates of postponed capital expenditures)
- Estimate the pounds of pollutants prevented from entering the environment (base figures on quantifiable reductions in pollutants released by comparing pre- and post-assistance discharge monitoring reports, also note permit limits; show figures in pounds or tons per year reduced)

PLFs = Performance Limiting Factors Codes

- A— Poor understanding and application of process control by operator
- B— Staffing (too few staff, low pay, turnover, etc.)
- C— Support from municipality (administrative and technical)
- D— Operating budget and user charge system
- E— Operability/maintainability considerations (process flexibility, automation, standby units, alternate power source)
- F— I/I
- G— Construction problems
- H— Process design errors (clarifiers, aerators, disinfection, etc.)
- I— Over design
- J— Under design
- K— Solids handling and sludge disposal
- L— Pretreatment, industrial dischargers, and toxics
- M— O&M manual
- N— O&M program
- O— Spare parts inventory
- P— Chemical inventory
- Q— Laboratory capability for process/NPDES testing
- R— NPDES reporting
- S— Equipment/unit processes broken down/inoperable
- T— Hydraulic overload
- U— Poor aeration system

104(g)(1) Operator Outreach Program Evaluation Survey

EPA Regional Coordinators

EPA Region _____
 Contact name _____
 Phone number _____
 Fax _____
 E-mail _____

1. Please provide information about the personnel working on 104(g) coordination in your region. Indicate numbers and "FT" for full time and "PT" for part time. In the comments section, please also note their years of experience

<i>Fiscal Year</i>	<i>Number of Personnel and Roles</i>	<i>Number of Support Staff (administrative assts, secretaries, budget specialists, grant managers, etc.)</i>	<i>Comments</i>
Example	1 FT Coordinator (funded 100% by 104)	1 FT secretary (funded 50% by 104) 1 PT budget analyst 1 PT grants specialist	Coordinator in program for 15 yrs
1998			
1997			
1996			
1995			

2. What types of services do you offer?
- _____ General program coordination (administration of grant funds, reporting)
 - _____ Technical oversight of state projects
 - _____ Provision of on-site technical assistance
 - _____ Coordination of regional meetings of 104(g) providers (if so, how often? _____)
 - _____ Individual meetings with state 104(g) providers (if so, how often? _____)
 - _____ Meetings with community representatives to market the 104(g) program (if so, how often? _____)
 - _____ Other (please describe)
3. What criteria do you use to determine the 104(g) funding allocation for each state in your region?
- _____ Overall success of the state's assistance program
 - _____ Quality of technical assistance provided
 - _____ Number of systems assisted
 - _____ Technical assistance needs in a state
 - _____ Historical allocations of funding (roughly same amount each year)
 - _____ Requests from states
 - _____ Other (please describe)

4. If you believe that your program's outreach is limited, please describe what you believe are *your program's* "performance limiting factors." Please rank each factor on a scale of 1 to 5, with 1 being the most significant. Please include comments, if appropriate.
- _____ Insufficient operating budget
 - _____ Poor public awareness and understanding of the program
 - _____ Inadequate marketing of the program
 - _____ Lack of communication between EPA headquarters, regional offices, and grantees
 - _____ Inadequate staffing
 - _____ Interference or lack of support from other agencies
 - _____ Travel considerations (time, funding)
 - _____ Other (please describe) _____
5. What do you see as the key successes of the 104(g) program? Please rank each factor on a scale of 1 to 5, with 1 being the most significant. Please include comments, if appropriate.
- _____ Improved system compliance
 - _____ Enhanced community and public education about wastewater treatment
 - _____ Financial savings or other direct economic benefits for communities
 - _____ Increased managerial and capital improvement planning skills at the local level
 - _____ Enhanced operator professionalism (certification, involvement in professional associations, participation in training)
 - _____ Development of a skilled technical assistance workforce, with special understanding of small communities' financial and political constraints
 - _____ Other, please specify _____
6. What do you see as the main reason(s) for the 104(g) program's success? Please rank from in order of priority, with 1 being the most important.
- _____ Commitment to long-term and comprehensive on-site assistance
 - _____ Assignment of technical assistance providers with special expertise in working with small communities
 - _____ Technical assistance by professionals with plant operating experience (peer-group assistance or mentoring approach)
 - _____ Partnerships with State agencies (non-monetary support such as referrals)
 - _____ Other, please specify _____